

07/02/01

JC885 U.S. PTO

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002 OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

PF140C2

First Inventor

He et al.

Title

Interleukin-1 Beta Converting Enzyme Like Apoptosis
Protease-3 and 4

Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages: 45]
(preferred arrangement set forth below)
- Descriptive title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table,
or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description (including original Sequence Listing)
- Claim(s)
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 3]
5. ☒ Oath or Declaration [Total Pages 2]
a. ☐ Newly executed (original or copy)
b. ☒ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in
the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76. [4 pgs.]

ADDRESS TO:Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer
Program (Appendix)
8. Substitute Sequence Listing
(if applicable, all necessary)
a. ☒ Computer Readable Form (CRF)
b. Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☒ paper [Total Pages: 6]
c. ☒ Statements verifying identity of above copies (see
Preliminary Amendment)

ACCOMPANYING APPLICATION PARTS

9. ☐ Copy Assignment Papers (cover sheet & document(s))
from prior application
10. ☒ 37 CFR 3.73(b) Statement ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement/ Form PTO/SB/08
☐ Copies of Citations
13. ☒ Preliminary Amendment with Exhibit A
14. ☒ Return Receipt Postcard (MPEP 503)
(should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☒ Other: Version of Amendment With Markings
to Show Changes Made (10 pgs.).
Submission of Substitute/Formal Drawings
w/Figures 1A-B, 2A-B and 3A-C (7 sheets).

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,
or in an Application Data Sheet under 37 CFR 1.76:☒ Continuation ☐ Divisional ☐ Continuation-in-Part (CIP) of prior application No: 08/334,251, filed November 1, 1994.

Prior application information: Examiner: Bugaisky, G. Group/Art Unit: 1653

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the
accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted
application parts.**18. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label

22195

or ☐ Correspondence address below

NAME			
ADDRESS			
CITY	STATE	ZIP CODE	
COUNTRY	TELEPHONE	FAX	
NAME (Print/Type) Jonathan L. Klein		Registration No. (Attorney/Agent) 41,119	
SIGNATURE <i>Jonathan L. Klein</i>		Date July 2, 2001	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the
amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO
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09/895263

07/02/01

FEE TRANSMITTAL
for FY 2001

Patent fees are subject to annual revision.

Complete if Known

		Application Number	Unassigned
		Filing Date	Herewith
		First Named Inventor	He et al.
		Examiner-Name	Unassigned
		Group/Art Unit	Unassigned
Total amount of payment	\$890.00	Attorney Docket Number	PF140C2

METHOD OF PAYMENT (CHECK ONE)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:
 Deposit Account Number **08-3425**
 Deposit Account Name **Human Genome Sciences, Inc.**

☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

☐ Applicant claims small entity status
See 37 CFR 1.27

2. ☐ Payment Enclosed:
☐ Check ☐ Credit Card ☐ Money Order ☒ Other

* Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to **Deposit Account No. 08-34**

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	<u>\$710.00</u>
106	320	206	160	Design filing fee	<u> </u>
107	490	207	245	Plant filing fee	<u> </u>
108	710	208	355	Reissue filing fee	<u> </u>
114	150	214	75	Provisional filing fee	<u> </u>
Subtotal (1)					\$710.00

2. EXTRA CLAIM FEES

			Extra	Fee from below	Fee Paid
Total claims	30	- 20**	10	\$18.00	\$180.00
Indep. claims	3	- 3**	0	\$80.00	\$0.00
Multiple Dependent					\$

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim
108	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

Subtotal (2)	\$180.00
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Submitted By

Name (Print/Type) Jonathan L. Klein

Signature: Jonathan Klein

FEE CALCULATION (CONTINUED)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing of Oath or Declaration	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920	112	920	Requesting publication of SIR prior to Examiner action	
113	1,840	113	1,840	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive -unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Statement	
581	40	481	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	190	169	900	Request for expedited examination of a design application	

Other fee (specify):

Other fee (specify):

*Reduced by Basic Filing Fee Paid

Subtotal (3)	\$0.00
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Complete (if applicable)

Registration No.: 41,119

Telephone	(301) 251-6015
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Date July 2, 2001

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